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(REV 11-	2000)	MERCE PATENT AND TRADEMARK OFFICE	ATTORNEY 'S DOCKET NUMBER					
·	TRANSMITTAL LETTER	148/257						
	DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371							
INTER								
Į.	NATIONAL APPLICATION NO. T/GB99/02669	INTERNATIONAL FILING DATE August 12, 1999	PRIORITY DATE CLAIMED					
	TITLE OF INVENTION  August 12, 1999  August 20, 1998							
IMPRO	OVEMENTS IN AND RELATIN	G TO DATA PROCESSING APPARA	TUS AND VERIFICATION METHO					
ABDU	CANT(S) FOR DO/EO/US LHAYOGLU, Melih							
Applic	ant herewith submits to the United Sta	ites Designated/Elected Office (DO/EO/US)	the following items and other information:					
1.	This is a FIRST submission of items	concerning a filing under 35 U.S.C. 371.						
2.	This is a SECOND or SUBSEQUE	NT submission of items concerning a filing u	nder 35 U.S.C. 371,					
3. <b>[X</b> ]	This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.							
4. 🔯	4 XX The US has been elected by the expiration of 19 months from the priority date (Article 31).							
5. <b>XX</b>	A copy of the International Application as filed (35 U.S.C. 371(c)(2))  a. is attached hereto (required only if not communicated by the International Bureau).							
			lat Bureau).					
	<ul> <li>b.  has been communicated by the International Bureau.</li> <li>c.  is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul>							
6.								
	a. is attached hereto.							
	b. has been previously submitted under 35 U.S.C. 154(d)(4).							
7. 📋								
	a. are attached hereto (required only if not communicated by the International Bureau).							
	b. have been communicated by the International Bureau.							
	c. have not been made; however, the time limit for making such amendments has NOT expired.							
	d. have not been made and will not be made.							
	An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).							
	() (C) SINDIGHTE							
10.	An English lanugage translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).							
Items 11 to 20 below concern document(s) or information included:								
11.	An Information Disclosure Stateme	nt under 37 CFR 1.97 and 1.98.						
12.	An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.							
13.🔯	A FIRST preliminary amendment.							
14. 🔲	A SECOND or SUBSEQUENT preliminary amendment.							
15.	A substitute specification.							
16.	A change of power of attorney and/or address letter.							
17.	A computer-readable form of the sec	quence listing in accordance with PCT Rule 1	3ter.2 and 35 U.S.C. 1.821 - 1.825.					
18.	A second copy of the published inter	rnational application under 35 U.S.C. 154(d)	(4).					
19. 🔲	A second copy of the English langua	age translation of the international application	n under 35 U.S.C. 154(d)(4).					
20. 🏹	Other items or information: Amended Claims							
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U.S. APP (DATION NO (UKnow 3 see 1 CP) 5 INTERNATIONAL APPLICATION NO PCT/GB99/02669							ATTORNEY'S DOCKET NUMBER 148/257	
21. The following fees are submitted:					CAL	CULATIONS	PTO USE ONLY	
	BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):						·	
Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1000.00								
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO\$860.00						860.00		
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International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)								
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months from the ear	liest claimed prior	ity date		20 🔯 30	\$	130.00		
CLAIMS	NUMBER FILI		NUMBER EXTRA	RATE	\$			
Total claims	20 - 20		0	x \$18.00	\$			
Independent claims	2 -3		0	x \$80.00	\$			
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months from the earl	liest claimed prior	ty date			\$			
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Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +								
			TOTAL FEES EI	NCLOSED =	\$	495.00		
						int to be efunded:	\$	
						charged:	\$	
<ul> <li>a.  A check in the amount of \$ 495.00 to cover the above fees is enclosed.</li> <li>b.  Please charge my Deposit Account No in the amount of \$ to cover the above fees. A duplicate copy of this sheet is enclosed.</li> </ul>								
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NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.								
SEND ALL CORRESPONDENCE TO:								
ADAMS, SCHWARTZ & EVANS, P.A. SIGNATURE								
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Charlotte, NC 28282 Jeffrey J. Schwartz						CZ		
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# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT:

ABDULHAYOGLU, Melih

INTERNATIONAL

APPLICATION NO.:

PCT/GB99/02669

INTERNATIONAL

FILING DATE:

August 12, 1999

FOR:

IMPROVEMENTS IN AND RELATING TO DATA PROCESSING

APPARATUS AND VERIFICATION METHODS

**BOX PCT** 

**Assistant Commissioner for Patents** 

Washington, D.C. 20231

# PRELIMINARY AMENDMENT

Sir:

After the assignment of a serial number and prior to the initial examination of the above-identified patent application, please make the following amendments:

## IN THE SPECIFICATION:

Amend the specification by inserting after the title, but before the first sentence on page 1:

-- This application is a national stage application, according to Chapter II of the Patent Cooperation Treaty.--

**APPLICANT:** 

ABDULHAYOGLU, Melih

INTERNATIONAL

**APPLICATION NO.:** 

PCT/GB99/02669

IN THE CLAIMS:

Cancel original claims 1 - 20.

Add claims 1 - 20 as attached entitled "Amended Claims."

# **REMARKS**

It is believed that this application is now in condition for allowance. Such action at an early date is respectfully requested.

Respectfully submitted,

Jeffrey J. Schwartz

Jeffrey J. Schwartz ADAMS, SCHWARTZ & EVANS, P.A. 2180 First Union Plaza 301 S. Tryon Street Charlotte, NC 28282

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File No. 148/257

# **Amended Claims**

- 1. In a data processing apparatus comprising a first input channel and a second input channel each for inputting signals, a security device for verifying a password, and means for determining whether the password input to the security device comes from the second input channel, in which the security device will verify a correct password from the first input channel, but not from the second input channel, in which the security device is configured to receive signals from the first input channel and configured not to receive signals from the second input channel.
- 2. A data processing apparatus according to claim 1, in which the device receives signals only from the first input channel.
- 3. A data processing apparatus according to claim 1, in which the device cannot receive signals from the second input channel.
- 4. A data processing apparatus according to claim 1, in which the apparatus further comprises means to determine whether the security device has verified the password and, if not, to vary operation of the apparatus.
- 5. A data processing apparatus according to claim 1, in which the first input channel comprises a first peripheral input device.
- 6. A data processing apparatus according to claim 5, in which the first peripheral input device comprises a keyboard and the security device is located to receive signals from the keyboard and transmit them to a keyboard controller or to a bus.

- 7. A data processing apparatus according to claim 5, in which the device is located between the keyboard controller and the keyboard bus.
- 8. A data processing apparatus according to claim 1, in which the apparatus further comprises a control unit (such as a CPU) which interrogates the security device to determine whether a correct password has been entered.
- 9. A data processing apparatus according to claim 1, in which the device encrypts all signals it receives.
- 10. A data processing apparatus according to claim 9, in which a decryption tool is provided between the output of the device and the application to which they key presses comprise instructions.
- 11. A method of verifying which of a first input channel and a second input channel is used in data processing apparatus, the method comprising the steps of upon input of a password to the apparatus, a security device receiving input from the first input channel not from the second input channel declining password authorisation, if the input is through the second input channel, and if the correct password is input through the first input channel providing a password verification.
- 12. A method according to claim 11, in which the method includes the step of determining whether the security device has verified the password and, if not, varying the operation of the apparatus.

- 13. A method according to claim 12, in which a control unit (such as a CPU) interrogates the security device to determine whether the correct password has been entered.
- 14. A method according to claim 11, in which the method includes the step of receiving signals only from the first input channel.
- 15. A method according to claim 14, in which the data processing apparatus includes a device for receiving signals.
- 16. A method according to claim 14, in which the device cannot receive signals from the second input channel.
- 17. A method according to claim 11, in which the first input channel comprises a first peripheral input device.
- 18. A method according to claim 17, in which the first peripheral input device comprises a keyboard and the security device is located to receive signals from the keyboard and transmit them to a keyboard controller or to a bus.
- 19. A method according to claim 17, in which the device is located between the keyboard controller and the keyboard bus.

20. A method according to claim 11, in which the apparatus further comprises a control unit (such as a CPU) which interrogates the security device to determine whether a correct password has been entered.

# IMPROVEMENTS IN AND RELATING TO DATA PROCESSING APPARATUS AND VERIFICATION METHODS

#### Field of the Invention

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The present invention relates to data processing apparatus and to verification methods.

#### Background to the Invention

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Despite the growing proliferation of computer hardware and software, there are still serious problems associated with data entry, and with the security of both hardware and software. Many new problems have arisen and others have become exacerbated as more and more computers are networked together and linked to the internet. One particular problem is that of remote hacking in which an unauthorised user seeks access to a computer or computer network by accessing the computer or a computer on the network otherwise than though a local keyboard or other local peripheral input device.

The present invention aims to provide in preferred embodiments thereof, data processing apparatus and verification methods that address at least one of these problems.

#### Summary of the Invention

According to the present invention in a first aspect, there is provided in a data processing apparatus comprising a first input channel and a second input channel each for inputting signals, a security device for verifying a

password, and means for determining whether the password input to the security device comes from the second input channel, in which the security device will verify a correct password from the first input channel, but not from the second input channel, in which the security device is configured to receive signals from the first input channel and configured not to receive signals from the second input channel.

In this way, the device determines whether the password input thereto comes from the second input channel, ie it physically cannot come from this channel.

Suitably, the device receives signals only from the first input channel. Suitably, the device cannot receive signals from the second input channel.

Suitably, the apparatus further comprises means to determine whether the security device has verified the password and, if not, to vary operation of the apparatus. Normally, the variation will be a restriction in operation, typically it will render the apparatus unusable.

Suitably, the first input channel comprises a first peripheral input device. Suitably, the first peripheral input device comprises a keyboard and the security device is located to receive signals from the keyboard and transmit them to a keyboard controller or to a bus. Suitably, the device is located between the keyboard controller and the keyboard bus. Here, "between" is in the electronic sense, ie receives output from the keyboard controller and generates an input for the keyboard bus.

The device thus acts as an interface between the keyboard controller and the bus.

Suitably, the apparatus further comprises a control unit (such as a CPU) which interrogates the security device to determine whether a correct password has been entered. A password protected operation is performed only if the control unit receives such verification.

Suitably, the device encrypts all signals it receives. Suitably, a decryption tool is provided between the output of the device and the application to which they key presses comprise instructions.

According to the present invention in a second aspect, there is provided a method of verifying which of a first input channel and a second input channel is used in data processing apparatus, the method comprising the steps of upon input of a password to the apparatus, a security device receiving input from the first input channel not from the second input channel declining password authorisation, if the input is through the second input channel, and if the correct password is input through the first input channel providing a password verification.

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Suitably, the method includes the step of determining whether the security device has verified the password and, if not, varying the operation of the apparatus. Normally, the variation will be a restriction in operation. Typically, it will render the apparatus unusable.

Suitably, a control unit (such as a CPU) interrogates the security device to determine whether the correct password has been entered.

Suitably, the method includes the step of receiving signals only from the first input channel. Suitably, the data processing apparatus includes a device for receiving signals. Suitably, the device cannot receive signals from the second input channel.

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Suitably, the first input channel comprises a first peripheral input device. Suitably, the first peripheral input device comprises a keyboard and the security device is located to receive signals from the keyboard and transmit them to a keyboard controller or to a bus. Suitably, the device is located between the keyboard controller and the keyboard bus. Here, "between" is in the electronic sense, ie receives output from the keyboard controller and generates an input for the keyboard bus. The device thus acts as an interface between the keyboard controller and the bus.

Suitably, the apparatus further comprises a control unit (such as a CPU) which interrogates the security device to determine whether a correct password has been entered. A password protected operation is performed only if the control unit receives such verification.

## Brief Description of the Figure

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The present invention will now be described, by way of example only, with reference to the Figure that follows

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which is a schematic illustration of an electronic data processing apparatus embodying the present invention.

#### Description of the Preferred Embodiments

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In one preferred embodiment of the present invention, there is provided an electronic data processing apparatus, typically a personal computer ("PC") 2. The PC 2 receives input signals from peripheral input devices (eg keyboard, data socket, pen, voice recognition microphone etc). PC includes a keyboard 4 having an associated bus 6 and a keyboard controller 8 forming a first input channel from the keyboard 4. The PC 2 also has at least one further input channel 10 for signals corresponding to those from the keyboard 4. Typically, this further input channel 10 will comprise a data socket for receipt of digital signals transmitted from a remote modem (not shown). generally treats signals received via the data socket in the same way as those received from the keyboard 4, except as set out below.

A security device 12 is located between the keyboard controller 8 and the bus 6. That is, the security device 12 is located to receive signals from the first input channel (the keyboard 4), but not from the further input channel (the data socket 10). The security device 12 has the following characteristics.

(i) It includes a fast and reversible encryption/decryption algorithm such as DES or T-code.

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- It has a volatile memory Random Access Memory (RAM) including authorisation codes algorithm therefor, or pre-stored password and means for checking whether an input password or code matches such an authorisation code password.
- (iii) It includes a real-time clock powered by a power supply.

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The security device 12 is typically embodied in a board (not shown) including a microprocessor. The board may be integral to the PC 2 or be a separate plug-in board.

The security device 12 requires a password to be input to pass keyboard signals to the bus 8. If the password is not provided on demand (a limited number of tries may be permitted before a lock-out) the security device 12 will either block signals or vary them, for instance by encryption, to be unusable. The security device 12 is configured so that upon receipt of the correct password it is activated for a predetermined period of time, according to the in-built real-time clock. The period of time can be varied based upon the password or other authorisation received. While activated, the security device transmits keyboard signals unaltered. When not activated it is in the encryption state and encrypts signals passing therethrough (or may block them). Thus, while in the encryption state the central processing unit ("CPU") of PC 2 cannot understand the output of keyboard 8.

The security device 12 when activated and authorised receives input signals from the keyboard bus and outputs

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them to the keyboard controller. The delay is insignificant.

In use, the PC 2 is configured to require a password before permitting access to certain functions or data (which may be all functions and/or data). By way of example, a word-processing file may be password protected. Before permitting access to the file, the PC CPU requires confirmation from the security device 12 that the correct password has been entered. Only if the CPU receives verification from the security device that the correct password has been entered will it perform the password protected operation. Since the security device 12 can only receive inputs from the keyboard, it is not possible to enter the password from any other source.

In this way, it is possible to verify the physical presence of a user. If signals are input to the PC via a modem, for instance from a "hacker", it will not be received via the keyboard input channel and so the password cannot be verified. Thus access can be denied to remote users or additional security measures put in place before allowing them access.

25 Typically, data will be encrypted and decryption will only be permitted upon verification from the security device 12.

Preferred embodiments of the present invention also enable a security enhancement to be provided to prevent "key logging" attacks. This is where a hacker loads a short application on to a PC to be attached which application interrogates the operating system to determine

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each keystroke as it is pressed. A record of keystrokes can be used to inspect confidential information and/or retrieve passwords.

To prevent this the security device 12 can be set to encrypt all key presses according to a predetermined encryption algorithm. An encryption algorithm is used to ensure that generally a given key press when repeated does not generate as an output from the security device 12 the same output. A tool is additionally provided between the operating system and the application to be controlled by the key presses to decrypt the encrypted key press data. Therefore since the key press information available to the operating system is encrypted it is of no use to a key logger.

Although reference is made herein to a "password", that can comprise any signal or combination of signals and need not be a "word" at all.

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Clearly, in certain embodiments the apparatus may only verify input from other inputs, usually being peripheral input devices.

25 The reader's attention is directed to all papers and documents which are filed concurrently with or previous to this specification in connection with this application and which are open to public inspection with this specification, and the contents of all such papers and documents are incorporated herein by reference.

All of the features disclosed in this specification (including any accompanying claims, abstract and drawings),

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and/or all of the steps of any method or process so disclosed, may be combined in any combination, except combinations where at least some of such features and/or steps are mutually exclusive.

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Each feature disclosed in this specification (including any accompanying claims, abstract and drawings), may be replaced by alternative features serving the same, equivalent or similar purpose, unless expressly stated otherwise. Thus, unless expressly stated otherwise, each feature disclosed is one example only of a generic series of equivalent or similar features.

The invention is not restricted to the details of the foregoing embodiment(s). The invention extends to any novel one, or any novel combination, of the features disclosed in this specification (including any accompanying claims, abstract and drawings), or to any novel one, or any novel combination, of the steps of any method or process so disclosed.

## Claims

- In a data processing apparatus comprising a first input channel and a second input channel each for inputting signals, a security device for verifying a password, and means for determining whether the password input to the security device comes from the second input channel, in which the security device will verify a correct password from the first input channel, but not from the second input channel, in which the security device is configured to receive signals from the first input channel and configured not to receive signals from the second input channel.
- 2. A data processing apparatus according to claim 1, in which the device receives signals only from the first input channel.
- A data processing apparatus according to claim 1 or claim 2, in which the device cannot receive signals from the second input channel.
  - 4. A data processing apparatus according to any preceding claim, in which the apparatus further comprises means to determine whether the security device has verified the password and, if not, to vary operation of the apparatus.
    - 5. A data processing apparatus according to any preceding claim, in which the first input channel comprises a first peripheral input device.
    - 6. A data processing apparatus according to claim 5, in which the first peripheral input device comprises a keyboard and the security device is located to receive

signals from the keyboard and transmit them to a keyboard controller or to a bus.

- 7. A data processing apparatus according to claim 5 or claim 6, in which the device is located between the keyboard controller and the keyboard bus.
- 8. A data processing apparatus according to any preceding claim, in which the apparatus further comprises a control unit (such as a CPU) which interrogates the security device to determine whether a correct password has been entered.
- 9. A data processing apparatus according to any preceding claim, in which the device encrypts all signals it receives.
  - 10. A data processing apparatus according to claim 9, in which a decryption tool is provided between the output of the device and the application to which they key presses comprise instructions.
- 11. A method of verifying which of a first input channel and a second input channel is used in data processing apparatus, the method comprising the steps of upon input of a password to the apparatus, a security device receiving input from the first input channel not from the second input channel declining password authorisation, if the input is through the second input channel, and if the correct password is input through the first input channel providing a password verification.
  - 12. A method according to claim 11, in which the method includes the step of determining whether the security

device has verified the password and, if not, varying the operation of the apparatus.

- 13. A method according to claim 12, in which a control unit (such as a CPU) interrogates the security device to determine whether the correct password has been entered.
- 14. A method according to any one of claims 11 to 13, in which the method includes the step of receiving signals only from the first input channel.
  - 15. A method according to claim 14, in which the data processing apparatus includes a device for receiving signals.
  - 16. A method according to claim 14 or claim 15, in which the device cannot receive signals from the second input channel.
- 20 17. A method according to any one of claims 11 to 16, in which the first input channel comprises a first peripheral input device.
- 18. A method according to claim 17, in which the first
  25 peripheral input device comprises a keyboard and the
  security device is located to receive signals from the
  keyboard and transmit them to a keyboard controller or to a
  bus.
- 19. A method according to claim 17 or claim 18, in which the device is located between the keyboard controller and the keyboard bus.

20. A method according to any one of claims 11 to 19, in which the apparatus further comprises a control unit (such as a CPU) which interrogates the security device to determine whether a correct password has been entered.

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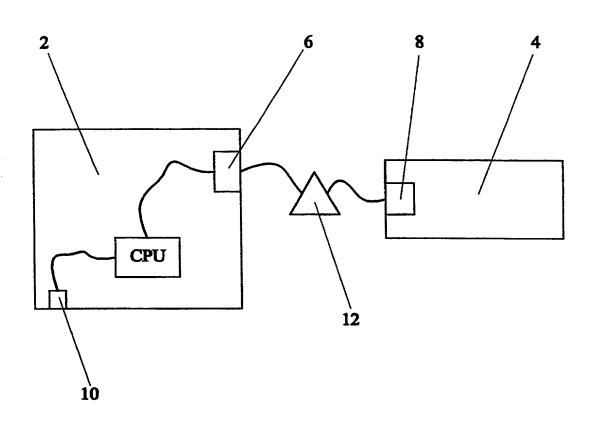


FIG. 1

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# **DECLARATION FOR UTILITY OR** DESIGN PATENT APPLICATION (37 CFR 1.63)

OR

☐ Declaration Submitted with Initial Filing

XX Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number		148/257	
First Named Inventor		ABDULHAYOGLU, Melih	
COMPLETE IF KNOWN			
Application Number		/	
Filing Date			
Group Art Unit			
Examiner Name			

As a below named inventor, I hereby declare that:								
My residence, mailing address, ar	My residence, mailing address, and citizenship are as stated below next to my name.							
I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:								
	IMPROVEMENTS IN AND RELATING TO							
DATA FIN	DATA PROCESSING APPARATUS AND VERIFICATION METHODS (Title of the Invention)							
the specification of which								
is attached hereto	is attached hereto							
OR as United States Application Number or PCT International								
was filed on (MM/DD/YYYY) 02/16/2001 / (if applicable).								
Application Number and was amended on (MM/DD/YYYY) (If applicable).								
I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.								
I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.								
I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.								
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES NO				
GB 9818184.5 🗸	Great Britain	08/20/1998	0000	XXX XXX 				
☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:								
I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.								
Application Number(s)	Filing Date	e (MM/DD/YYYY)						
			numbers suppleme	al provisional application are listed on a ental priority data sheet /02B attached hereto.				

[Page 1 of 2]

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supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

Country